

Appendix T, RECORDS MANAGEMENT FUNCTIONAL AREAS CHECKLIST, to 1A Cir 1-201

UNIT EVALUATED: _____ DATE EVALUATED _____

INSPECTOR: _____ PHONE: _____

OVERALL RATING: MET STANDARDS NEEDS IMPROVEMENT

GENERAL

1. Who is the person performing the duties of: Name
 - a. Records Manager _____
 - b. Freedom of Information Act Officer _____
 - c. Privacy Act Official _____
 - d. Publications Control Officer _____
 - e. Printing/Repro Officer _____
 - f. Official Mail Manager _____
 - g. Forms Management Officer _____
 - h. Information Mgt Control Officer _____
 - i. Reduction in Admin workload POC _____
2. Number of direct reporting subordinates _____
3. Are surveys of HQ elements and subordinates being conducted every two years? YES NO NA
4. Has the Records Manager received/obtained training for the records management program elements covered by checklist (GSA or OPM courses or AG subcourses)? YES NO NA
5. Have the following files been established as appropriate:
 - a. 1c copies of IG and RM Inspection of your office? YES NO NA
 - b. 25-400-2a Records Locator and disposition files? YES NO NA
 - c. 25-1g RM Survey Files? YES NO NA
 - d. 25-1h RM Background Files? YES NO NA

FREEDOM OF INFORMATION ACT

1. Are AR 25-55 and DOD 5400-7R on hand? YES NO NA

Appendix T, RECORDS MANAGEMENT FUNCTIONAL AREAS CHECKLIST, to 1A Cir 1-201

2. Has FOIA officer received training?	YES	NO	NA
3. Has suspense system been established to assure replies to FOIA requests within the allowed time frame?	YES	NO	NA
4. Are copies of DD Forms 2086 (FOIA Processing Cost) on hand and used to record cost of processing requests for information (DOD 5400.7)?	YES	NO	NA
5. Is FOIA officer aware of requirement to notify 1A ((404) 363-5922) when a request for records is received?	YES	NO	NA
6. Has guidance been provided to subordinate units?	YES	NO	NA
7. Is FOIA officer aware that copies of records cannot be given to anyone except those with a "need to know" or those covered by a routine use in the Privacy Act (AR 340-21) or the FOIA (AR 25-55) unless the request is in writing and the FOIA is cited?	YES	NO	NA
8. If fees have been collected for FOIA requests are copies of the DD Form 1131 (Cash Collection Voucher) available for inspection?	YES	NO	NA
9. Have the following files been established if applicable?			
a. 25-55a FOIA Requests	YES	NO	NA
b. 25-55b FOIA Admin Files	YES	NO	NA
c. 25-55d FOIA Controls	YES	NO	NA
d. 25-55e FOIA Reports	YES	NO	NA

PRIVACY ACT

1. Are the following directives on hand?			
a. AR 340-21 w/FORSCOM Suppl	YES	NO	NA
b. AR 25-1	YES	NO	NA
c. DA Pam 340-6	YES	NO	NA
d. AR 25-51	YES	NO	NA
2. Are personnel who handle documents containing personal information about other individuals aware of the penalties for unauthorized disclosure of personal information? (AR 340-21, para 4-9)	YES	NO	NA
3. Has the Privacy Act official received training (Formal training or Subcourse 409)?	YES	NO	NA
4. Has training on the Privacy Act been provided for HQ personnel?	YES	NO	NA

Appendix T, RECORDS MANAGEMENT FUNCTIONAL AREAS CHECKLIST, to 1A Cir 1-201

5. Is PA official aware of requirements to notify 1A Privacy Act Officer ((404)363-5922) when a PA request is received?	YES	NO	NA
6. Has guidance been provided to subordinate units?	YES	NO	NA
7. Are PA statements included on local and command forms asking for personal information when that form will be retrievable by personal identifier?	YES	NO	NA
8. Is FORSCOM Form 113-R (PA Info for Desktop) being utilized?	YES	NO	NA
9. Have the following files been established as applicable?			
a. 340-21a PA case files (PA sys notice AO340-21 ADAAG) if received PA request	YES	NO	NA
b. 340-21b PA Reports	YES	NO	NA
c. 1u PA Disclosure Accounts (if made PA disclosure)	YES	NO	NA
10. Is written consent received from employees before disclosing their names and personal information on an alert roster that is distributed to all personnel on the roster, or in the station list which is widely distributed?	YES	NO	NA

SAFEGUARDING “FOR OFFICIAL USE ONLY” INFORMATION

1. Are documents containing personal info about individuals protected as FOUO? (AR 340-21, para 4-4; AR 25-55, para 4-100)	YES	NO	NA
2. Are schedules, itineraries and calendars of staff officers and senior officials treated as “for official use only”?	YES	NO	NA
3. Are FOUO documents mailed in opaque or draft brown envelopes and not in white envelopes?	YES	NO	NA

PUBLICATIONS MANAGEMENT

1. Are the following directives on hand?			
a. AR 25-30	YES	NO	NA
b. DA Pam 25-30	YES	NO	NA
c. DA Pam 25-33	YES	NO	NA
d. DA Pam 310-10	YES	NO	NA
2. Have initial pubs requirements been established for required pubs? Are DA Forms 12, and FORSCOM Form 12-R on file and up-to-date?	YES	NO	NA
3. Is the DA Form 12 series up-to-date?	YES	NO	NA
4. Does pubs officer have a record of who is to get pubs when they are	YES	NO	NA

Appendix T, RECORDS MANAGEMENT FUNCTIONAL AREAS CHECKLIST, to 1A Cir 1-201

received?

5. Is a publications management system in effect that assures pubs are edited and coordinated before they are published?	YES	NO	NA
6. Are SOPs being used in lieu of admin pubs to establish policies and procedures or assign responsibilities?	YES	NO	NA
7. Are pubs reviewed at least every 18 months to assure they are still necessary and current?	YES	NO	NA
8. Are results of the reviews on file?	YES	NO	NA
9. Are correct publications media (Local Reg, Pam, Circ, or Suppl) being used to disseminate local policies, procedures, and assign responsibilities?	YES	NO	NA
10. Is the correct format being used for local directives?	YES	NO	NA
11. Have the following files been established as applicable?	YES	NO	NA
a. 25-30i Centralized Background File	YES	NO	NA
b. 1jj Reference Pubs Files	YES	NO	NA
c. 25-30xx Edit File (optional)	YES	NO	NA
d. 1p DA Forms 12 Files	YES	NO	NA

BLANK FORMS MANAGEMENT

1. Is the following directive on hand?			
a. AR 25-30	YES	NO	NA
2. Are unauthorized unnumbered blank forms or form letters on hand?	YES	NO	NA
3. Are Privacy Act statements included on local/command blank forms requesting personal information? (Required only when the form will be placed in a file that is retrieved by a personal identifier.) (AR 340-21, para 4-2a; AR 25-30, para 3-2b)	YES	NO	NA
4. Have Privacy Act statements been reviewed by the Judge Advocate?	YES	NO	NA
5. Have directives been published to prescribe command forms? (AR 25-30, para 3-2b)	YES	NO	NA
6. Are forms reviewed at least every 18 months to assure they are essential and current? (AR 25-30, para 3-5)	YES	NO	NA
7. Is a forms control register being maintained? (AR 25-30, para 3-4)	YES	NO	NA
8. Do all forms with the word "Report" in the title have an RCS	YES	NO	NA

Appendix T, RECORDS MANAGEMENT FUNCTIONAL AREAS CHECKLIST, to 1A Cir 1-201

assigned?

9. Are all forms reviewed for Privacy Act and reports control implications?	YES	NO	NA
---	-----	----	----

PRINTING/REPRODUCTION

1. Does the Printing/reproduction control officer approve all requests for printing support from an Army field printing plant?	YES	NO	NA
--	-----	----	----

2. Is a printing log maintained for each duplicator?	YES	NO	NA
--	-----	----	----

CORRESPONDENCE MANAGEMENT

1. Are the following directives on hand?

a. AR 25-50	YES	NO	NA
-------------	-----	----	----

b. AR 310-50	YES	NO	NA
--------------	-----	----	----

c. AR 340-9	YES	NO	NA
-------------	-----	----	----

2. Is correct letterhead being used?	YES	NO	NA
--------------------------------------	-----	----	----

3. Are requests for letterhead from subordinate units reviewed prior to being printed? (Cdr must be LTC to qualify for printed letterhead)	YES	NO	NA
--	-----	----	----

4. Do form letters use correct correspondence formats?	YES	NO	NA
--	-----	----	----

5. Can form or guide letters (stored on a personal computer) be substituted for some of the correspondence or form letters?	YES	NO	NA
---	-----	----	----

6. Does the unit/HQ have a correspondence quality control program? (AR 25-50, para 1-41)	YES	NO	NA
--	-----	----	----

7. Is DA Form 2445 used to control suspense mail?	YES	NO	NA
---	-----	----	----

8. Are correct correspondence formats being used?	YES	NO	NA
---	-----	----	----

9. Have correct office symbols been assigned and published?	YES	NO	NA
---	-----	----	----

10. Has the new Army writing style been implemented (putting the main point first and writing in the active voice)? (AR 25-50, Section IV)	YES	NO	NA
--	-----	----	----

MANAGEMENT INFORMATION CONTROL SYSTEM

1. Are the following directives on hand?

a. AR 335-15	YES	NO	NA
--------------	-----	----	----

b. DA Pam 25-9	YES	NO	NA
----------------	-----	----	----

Appendix T, RECORDS MANAGEMENT FUNCTIONAL AREAS CHECKLIST, to 1A Cir 1-201

2. Has the element issued a listing of all reporting requirements being completed and all locally imposed reporting requirements (preferably in a local pamphlet format)?	YES	NO	NA
3. Are all local requests for input or reports reviewed before they are dispatched to assure info requested is essential and that it is not already available in the unit?	YES	NO	NA
4. Are RCS numbers or exemption statements included in all directives or memorandums that request data?	YES	NO	NA

POSTAL OPERATIONS

1. Does the unit have its own postal meter?	YES	NO	NA
2. If no meter, who provides postal services? _____			
3. If postal service is provided, is that service performed as a reimbursable expense?	YES	NO	NA
4. If unit has its own meter, has an OMCO inspection been performed within the last 12 months?	YES	NO	NA
5. Does the command OMM approve all requests for special mail service (Express Mail, Certified, etc.)? (Verbal approval is OK)	YES	NO	NA

FILES MAINTENANCE

1. Is AR 25-400-2 on hand?	YES	NO	NA
2. Are standard/non-standard files equipment properly labeled? (AR 25-400-2, para 6-2)	YES	NO	NA
3. Are individual file folders labeled? (AR 25-400-2, para 6-2)	YES	NO	NA
4. Are the labeling standards of Fig 6-3, AR 25-400-2 in use?	YES	NO	NA
5. Have the disposition standards of Table 7-1, AR 25-400-2 been accurately interpreted and applied to labels?	YES	NO	NA
a. Time files: Does the destruction date match the description in Appendix B, AR 25-400-2?	YES	NO	NA
b. Event files: Is the event described clearly IAW Appendix B, AR 25-400-2?	YES	NO	NA
c. Time/Event files: Are Active, Inactive, PIF, and COFF IAW Appendix B, AR 25-400-2?	YES	NO	NA
6. Have records eligible for destruction been destroyed IAW Appendix B, AR 25-400-2?	YES	NO	NA

Appendix T, RECORDS MANAGEMENT FUNCTIONAL AREAS CHECKLIST, to 1A Cir 1-201

7. Have current non-COFF files from previous years been brought forward to the current files?	YES	NO	NA
8. Are records containing Privacy Act information properly filed under file numbers having Privacy Act Systems Notices?	YES	NO	NA
9. Is filing equipment containing Privacy Act information secured when unattended?	YES	NO	NA
10. Are files maintained in "files blocks"?	YES	NO	NA
11. Are records neat and orderly?	YES	NO	NA
12. Are items other than records being stored in files equipment and creating a records storage shortage?	YES	NO	NA

[illegible]